

**Baseline Monitoring Checklist**  
for  
**Grants Management Specialist**

*To be completed on every grant on an ongoing basis (at least once per year)*

Reviewer E. STANL Date 10/12/06 **2/12/07**  
Recipient Name Hopi Tribe Assistance # FS-98969501-2  
Current Grant Period 10/1/00 - 11/30/09

**TERMS AND CONDITIONS**

Follow -up actions on executed award document: List any "Special Conditions" as defined by 30.14 or 31.12, as well as other administrative conditions that require action by the recipient (example, approved indirect cost rate, supporting documentation for payment requests, etc.) Note the compliance status for each (example, date requirement satisfied or deliverable received, communication with PO and/or recipient)

**conf. call w/ Tribe**

**2/12/07**

**REPORTING**

Is the recipient submitting the following reports in accordance with terms and conditions of the award document: MBE/WBE - Form 5700-52A, Progress/technical Reports, Single Audit Reports, Interim FSRs

Yes

No

MBE/WBE okay 2005 / due 10/30/06

**11/30/07**

**11/07**

Progress Reports (check with EPA PO)

Single Audit Reports

Interim FSRs okay - / due 12/30/06

**(M)**

## FINANCIAL REVIEW

Note: When reviewing financial documents look for flags; example: draws that appear too large or too small, no draws. Look for the unusual. There may be a need to talk with the recipient to determine if there is a reason for a particular pattern. PO's may also have insight to unusual patterns.

In reviewing interim FSRs and/or utilizing information in the Financial Data Warehouse, are there any irregularities in draw down activity that require follow-up action? \_\_\_\_\_

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## CHANGES AND OTHER APPROVALS

Has the recipient submitted any documentation for approval (example, approvals required by Cost Principles, program income direction, unique procurement actions, budget or workplan revisions, extension of time)? Has a response been given to recipient? \_\_\_\_\_

10/2/10 I spoke to Sharon Masek Lopez re: revised workplan & budget - she is going to submit revisions to Bessie Lee - question on hiring employee vs. consultant. I told her to check w/Tracie

After reviewing files, are any changes or approvals needed? \_\_\_\_\_

If yes, is a formal amendment required? \_\_\_\_\_

GMO or PO letter? \_\_\_\_\_

Cite the action initiated and when \_\_\_\_\_

## COMMUNICATION

Date of last communication with the Project Officer \_\_\_\_\_ Recipient \_\_\_\_\_

Specify form of communication with Project Officer \_\_\_\_\_ Recipient \_\_\_\_\_  
(e.g., phone call, email, etc)

Specify location of documentation w/Project Officer \_\_\_\_\_ Recipient \_\_\_\_\_

## GS ADVANCED MONITORING RECOMMENDATION

Based on this review, has advanced monitoring been recommended/completed? Yes No

Specify Type of Action Desk Review On-Site Evaluation